



DEPARTMENT OF THE NAVY

NAVAL AIR STATION

LEMOORE, CALIFORNIA 93246-5001

IN REPLY REFER TO

NASLEMINST 5800.4A
022

10 SEP 1990

NAS LEMOORE INSTRUCTION 5800.4A

Subj: REPORTS OF FRAUD, WASTE, AND ABUSE (FWA)

Ref: (a) OPNAVINST 3100.6E
(b) CINCPACFLTINST 5440.3H
(c) NASLEMINST 5520.1D
(d) SECNAVINST 5430.92A
(e) CINCPACFLTINST 5041.1

Encl: (1) NAS Lemoore FWA Completion Report
(2) NAS Lemoore FWA Progress Report

1. Purpose. This instruction assigns responsibilities for reporting instances of fraud, waste, or abuse (FWA) and a system to monitor the effectiveness of the program at NAS Lemoore.

2. Cancellation. NASLEMINST 5800.4

3. Background. OPREP-3 NAVY BLUE reporting requirements and Unit Situation (UNIT SITREP) report requirements delineated in reference (a) have been extended by reference (b) to include all instances of FWA. Prevention and detection of FWA, as defined in paragraph 3 below, are of continuing concern to SECNAV, CNO, CINCPACFLT and all others in the chain of command.

4. Policy. The policy of the Commanding Officer, NAS Lemoore, is to ensure resources of the United States are well managed, free of fraud, waste, and inefficiency. By vigorous action, detect, deter, and eliminate fraud, waste, inefficiency, and related improprieties whenever they occur. All naval personnel at NAS Lemoore shall be alert to the possibility of such illegal or improper acts, and shall report to proper authority following this instruction, the known existence of any improprieties in this regard.

5. Definitions.

a. Fraud. Any willful means of taking or attempting to take unfair advantage of the Government including, but not limited to, the offer, payment or acceptance of bribes (18 U.S.C. 201) or the offer, giving, or acceptance of gratuities as set forth in SECNAVINST 5370.2J (Standards of Conduct), making of false statements, submission of false claims, use of false weights and measures, evasion or corruption of inspectors and other officials, deceit, either by suppression of the truth or misrepresentation of a material fact, adulteration, or substitution of materials, falsification of records and books of accounts,

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arrangement for secret profits, kickbacks or commissions, and conspiracy to use any of these devices. It also includes those cases of conflict of interest, criminal irregularities, and unauthorized disclosure of official information which are connected with procurement and disposal matters.

b. Waste. Any extravagant, careless or needless expenditure of government funds, or consumption of government property which results from deficient practices, systems, controls or decisions.

c. Abuse. Any number of wrongful actions, not constituting fraud or waste, which violates statutes, regulations or good practices.

d. OPREP-3 NAVY BLUE Reporting. Special procedures used to report an event or incident where high Navy interest is indicated, especially if it may be reported by the local press. Detailed procedures are contained in reference (a).

e. Unit Situation Report (UNIT SITREP). Special procedures used to provide appropriate operational commanders and higher authority with the status of situations/events that do not require an OPREP-3 reporting.

5. Action.

a. Commanding Officer.

(1) Receive FWA reports from the local HOTLINE or from the DOD, Navy, or CINCPACFLT HOTLINE program.

(2) Assign an examining official the responsibility for inquiry and reporting for each unresolved incident of reported allegations of FWA. Complete assurance of impartiality and objectivity is essential in conducting the inquiry. Therefore, the inquiry of an allegation should not be conducted by an organization or individual implicated--explicitly or implicitly--in wrongdoing in the allegation under inquiry.

(3) Make final decision whether instances reported from the local HOTLINE should be reported via OPREP-3 NAVY BLUE procedures or Unit Sitrep procedures.

(4) Make initial voice report to CINCPACFLT for all incidents requiring OPREP-3 NAVY BLUE procedures, AUTOVON 315-941-6656, commercial 808-471-3201. Per reference (a), initial voice report is required to be made within five minutes of knowledge of the incidents.

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(5) Release subsequent OPREP-3 NAVY BLUE message reports, Unit Sitrep reports and any follow-up reports required by reference (b).

(6) Administer disciplinary action as necessary.

b. Fraud, Waste and Abuse Coordinator. The Command Evaluation Officer will perform duties as the Fraud, Waste and Abuse Coordinator for NAS Lemoore.

(1) Ensure NAS Lemoore FWA HOTLINE number, extension 3279, is published in the base newspaper periodically and in the Plan of the Day at least once each quarter.

(2) Maintain a set of references pertaining to the DOD and Navy HOTLINE programs for use by Examining Officials in completing their investigations and reporting requirements.

c. NAS Lemoore Department Heads.

(1) Encourage employees to report instances of FWA through the chain of command.

(2) Attempt to resolve instances of FWA reported that do not require OPREP-3 NAVY BLUE reporting, NIS or security involvement.

(3) If the situation requires OPREP-3 NAVY BLUE reporting, NIS or Security involvement, the Commanding Officer should be notified as soon as possible per reference (c).

(4) Report resolved instances of FWA not requiring OPREP-3 NAVY BLUE reporting, or NIS or Security involvement to the Commanding Officer via the Executive Officer in the format of enclosure (1).

d. Examining Officials. Examining officials will be appointed by the Commanding Officer for each unresolved incident and will perform the following duties:

(1) Conduct inquiry to determine the facts to substantiate or disprove the allegation.

(2) Prepare thorough documentation of procedures used and data collected to accomplish the inquiry. Upon completion, documentation should be retained for two years as required by reference (b).

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(3) Prepare subsequent message reports and follow-up reports for OPREP-3 NAVY BLUE events and Unit Situation reports in the formats prescribed by reference (a). These should be routed directly to the Commanding Officer. If message report is not required, prepare report to the Commanding Officer in the format of enclosure (1), and any follow-up reports in the format of enclosure (2).

(4) Prepare responses to DOD and Navy HOTLINE inquiries in the formats prescribed in references (d) and (e).

(5) Inform non-anonymous callers of the conclusions of the inquiry after Commanding Officer's approval of report.

f. All Hands. The scope of this paragraph includes all U.S. military personnel and all civilian employees of NAS Lemoore, including those in non-appropriated fund activities.

(1) Be alert to the possibility of any fraud, waste or abuse per definition in paragraph 4 of this instruction.

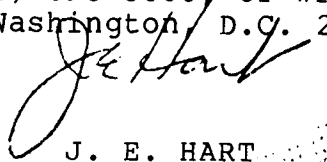
(2) If any naval personnel becomes aware of any incident of fraud, waste or abuse it must be reported to the proper authority per reference (d). The immediate chain of command should be the first consideration for reporting. However, if for some reason the chain of command cannot be used then the following hotline numbers are available and should be used:

(a) NAS Lemoore: FWA Hotline 3279 or write Commanding Officer, NAS Lemoore, CA 93246-5001.

(b) U.S. Navy Hotline: AUTOVON 228-6743; commercial (202) 433-6743; toll free, 800-522-3451 or write Navy Hotline, Building 200, Washington Navy Yard, Washington, D.C. 20374.

(c) Office of the Pacific Fleet Inspector General; Autovon 471-9851; commercial (808) 471-9851, or write INSGENPACFLT, Box 03M, Pearl Harbor, HI 96860.

(d) DODIG Hotline: Autovon 223-5080; toll free 800-424-9098; or commercial (202) 693-5080; or write Defense Hotline, The Pentagon, Washington, D.C. 20301-1900.



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Sample FormatNAS Lemoore Fraud, Waste and Abuse Completion ReportAs of (applicable date)

1. Control Number: — — — — —
2. Name and Organization of Examining Official(s).
3. Scope of Examination, Conclusions, and Recommendations:

((Identify allegation, applicable organization and location, person or persons against whom the allegation was made, dollar significance of actual or estimated loss or waste of resources, and results of examination, including amount of actual or potential recoveries of resources which tend to prove or disprove the allegation. Include comments regarding the nature and scope of examination (documentary review, witness interviewed, evidence collected, or interrogations of person or persons identified above, when appropriate). Provide comments on program reviews made; adequacy of existing regulations or policy; system weaknesses noted; and similar weaknesses.))

4. Cite Criminal or Regulatory Violation or Violations Substantiated:5. Disposition:

(If unsubstantiated, so state. Otherwise, report the specific action taken. For examinations involving economies and efficiencies, report management actions taken or planned at the time of the final report. For examinations involving criminal or other lawful acts, include results of criminal prosecution, providing details of all charges and sentences imposed. Include results of administrative sanctions, reprimands, value of property or money recovered or other such actions taken to preclude recurrence.)

6. Security Classification of Information:

(Each examining organization must determine and state, when applicable, the security classification of information included in this report which could jeopardize national defense or otherwise compromise security if the contents were disclosed to unauthorized sources.)

7. Location of Field Working Papers and Files:

Encl (1)

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Sample Format

NAS Lemoore Fraud, Waste and Abuse Progress Report

As of (applicable date)

1. Control Number: — — — — —

2. Applicable DON Organization: (Identify organization actually conducting the inquiry.)

3. Date Referral Initially Received:

4. Status:

Examination is being conducted by (name of applicable organization). (Describe in brief terms the allegation and what has been determined to date.)

5. Expected Date of Completion:

6. Action Agency Point of Contact: